

12/29/00
1c944 U.S. PTO

Please type a plus sign (+) inside this box → ☐



PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
A collection of information unless it displays a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53 (b))

Attorney Docket No.

001406

First Inventor or Application Identifier

Schuster et al.

Title

Optical Arrangement

Express Mail label No.

EL 770224980 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 16]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]

4. Oath or Declaration [Total Pages 4]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)

i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF
ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))

8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney

9. ☐ English Translation Document (if applicable)

10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

11. ☒ Preliminary Amendment

12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

13. ☐ *Small Entity Statement(s) ☐ Statement filed in prior application,
Status still proper and desired
(PTO/B/09-12)

14. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

15. ☐ Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No:

Prior application information: Examiner:

Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Jovan N. Jovanovic				
	FACTOR & PARTNERS, LLC				
Address	100 West Monroe St., Suite 300				
City	Chicago	State	IL	Zip Code	60603
Country	USA	Telephone	312-578-0400	Fax	312-578-8220

Name (Print/Type)	Jovan N. Jovanovic	Registration No. (Attorney/Agent)	40039
Signature		Date	12/29/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision, Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 AND 1.28.</p>		Complete if Known	
TOTAL AMOUNT OF PAYMENT		(\$) 750.00	Attorney Docket No. 001406
Application Number		Filing Date	
First Named Inventor		Holderer et al.	
Examiner Name		Group/Art Unit	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																						
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to.</p> <p>Deposit Account Number: 50-0545</p> <p>Deposit Account Name: FACTOR & PARTNERS, LLC</p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Code</th> <th>Fee (\$)</th> <th>Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>380</td> <td>216</td> <td>190</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>870</td> <td>217</td> <td>435</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,360</td> <td>218</td> <td>680</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,850</td> <td>228</td> <td>925</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>300</td> <td>219</td> <td>150</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>300</td> <td>220</td> <td>150</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>260</td> <td>221</td> <td>130</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1,210</td> <td>241</td> <td>605</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,210</td> <td>242</td> <td>605</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>430</td> <td>243</td> <td>215</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>580</td> <td>244</td> <td>290</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>40.00</td> </tr> <tr> <td>146</td> <td>690</td> <td>246</td> <td>345</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>690</td> <td>249</td> <td>345</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> </tbody> </table> <p>Other fee (specify) _____</p> <p>Other fee (specify) _____</p> <p>*Reduced by Basic Filing Fee Paid</p>	Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee (\$)	Code	Fee (\$)	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))		149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																																																		
Code	Fee (\$)	Code	Fee (\$)																																																																																																																																																																				
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																			
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																			
139	130	139	130	Non-English specification																																																																																																																																																																			
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																			
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																			
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																			
115	110	215	55	Extension for reply within first month																																																																																																																																																																			
116	380	216	190	Extension for reply within second month																																																																																																																																																																			
117	870	217	435	Extension for reply within third month																																																																																																																																																																			
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																			
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																			
119	300	219	150	Notice of Appeal																																																																																																																																																																			
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																			
121	260	221	130	Request for oral hearing																																																																																																																																																																			
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																			
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																			
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																			
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																			
143	430	243	215	Design issue fee																																																																																																																																																																			
144	580	244	290	Plant issue fee																																																																																																																																																																			
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																			
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																			
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																			
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																		
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																			
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																			
<p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Code</th> <th>Fee (\$)</th> <th>Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>690</td> <td>201</td> <td>345</td> <td>Utility filing fee</td> <td>710.00</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>690</td> <td>208</td> <td>345</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (1) (\$) 710.00</p> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Total Claims</th> <th colspan="2">Extra Claims</th> <th colspan="2">Fee from below</th> <th colspan="2">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Independent</td> <td>20**</td> <td></td> <td>X</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Multiple Dependent</td> <td>3**</td> <td></td> <td>X</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Code</th> <th>Fee (\$)</th> <th>Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>260</td> <td>204</td> <td>130</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109</td> <td>78</td> <td>209</td> <td>39</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (2) (\$) _____</p>	Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee (\$)	Code	Fee (\$)	101	690	201	345	Utility filing fee	710.00	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	345	Reissue filing fee		114	150	214	75	Provisional filing fee		Total Claims		Extra Claims		Fee from below		Fee Paid		Independent	20**		X					Multiple Dependent	3**		X					Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee (\$)	Code	Fee (\$)	103	18	203	9	Claims in excess of 20		102	78	202	39	Independent claims in excess of 3		104	260	204	130	Multiple dependent claim, if not paid		109	78	209	39	**Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		<p style="text-align: right;">SUBTOTAL (3) (\$) 40.00</p>																																																														
Large Entity		Small Entity		Fee Description			Fee Paid																																																																																																																																																																
Code	Fee (\$)	Code	Fee (\$)																																																																																																																																																																				
101	690	201	345	Utility filing fee	710.00																																																																																																																																																																		
106	310	206	155	Design filing fee																																																																																																																																																																			
107	480	207	240	Plant filing fee																																																																																																																																																																			
108	690	208	345	Reissue filing fee																																																																																																																																																																			
114	150	214	75	Provisional filing fee																																																																																																																																																																			
Total Claims		Extra Claims		Fee from below		Fee Paid																																																																																																																																																																	
Independent	20**		X																																																																																																																																																																				
Multiple Dependent	3**		X																																																																																																																																																																				
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																																																		
Code	Fee (\$)	Code	Fee (\$)																																																																																																																																																																				
103	18	203	9	Claims in excess of 20																																																																																																																																																																			
102	78	202	39	Independent claims in excess of 3																																																																																																																																																																			
104	260	204	130	Multiple dependent claim, if not paid																																																																																																																																																																			
109	78	209	39	**Reissue independent claims over original patent																																																																																																																																																																			
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																			

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	JOVAN N JOVANOVIC	Registration No (Attorney/Agent)	40039
Signature		Telephone	312-578-0400
		Date	12/29/00

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.